

11-26-01

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# UTILITY PATENT APPLICATION TRANSMITTAL

only for new nonprovisional applications under  
37 CFR 1.53(b))

Attorney Docket No.

UMC-98-048 CON

First Inventor

Coming CHEN, et al.

Title

METHOD OF FORMING PARTIAL  
REVERSE ACTIVE MASK

Express Mail Label No.

EL523798176US

10672 U.S. PTO  
09/991466



11/21/01

## APPLICATION ELEMENTS

Assistant Commissioner for Patents  
Box Patent Application  
2900 Crystal Drive  
Arlington, VA 22202-3513

1. ☒ Fee Transmittal Form  
(submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27
3. ☒ Specification [ total pages 10 ]  
(preferred Arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) [ total sheets 4 ]
5. ☐ Oath or Declaration
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from prior appl. (37 C.F.R. § 1.63(d))
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. (See 37 CFR 1.76)
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (coversheet/document(s))
10. ☒ 37 CFR. 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document
12. ☒ IDS & Form 1449 ☒ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
15. ☐ Certified Copy of Priority Document(s)
16. ☒ Other: Check for \$740.00, Certificate of Mailing by Express Mail

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09/535,251, filed March 27, 2000, which was a CIP of U.S. Patent Application Serial No. 09/075,618, filed May 11, 1998.

Prior application information: Examiner: N. BARRECA Group/Art Unit: 1756

**FOR CONTINUATION OR DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label  or ☐ Correspondence address below

Name

25235

PATENT TRADEMARK OFFICE

Address

City

State

ZIP

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US

T l phone

(719) 448-5900

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Name (Print/Type)

Eugene J. Bernard

Registration No.

42,320

(Signature)

Date

November 21, 2001

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Coming CHEN, et al

Serial No. Unassigned

Filed: November 21, 2001

For: METHOD OF FORMING PARTIAL  
REVERSE ACTIVE MASK

Examiner: Unassigned

Art Unit: Unassigned

CERTIFICATE OF MAILING BY EXPRESS MAIL

Assistant Commissioner for Patents  
2900 Crystal Drive  
Arlington, VA 22202-3513

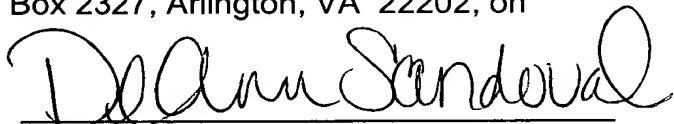
Sir:

The undersigned hereby certifies that the attached

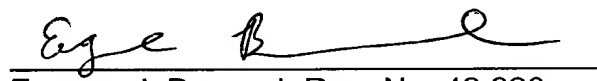
1. Patent Application Transmittal;
2. Preliminary Amendment;
3. Fee Transmittal;
4. Check for \$740.00;
5. Copy of U.S. Patent Application Serial No. 09/535,251;
6. Copy of Revocation of Power of Attorney;
7. Information Disclosure Statement, Form 1449 and References;
8. Certificate of Mailing by Express Mail; and
9. Return Card,

relating to the above application, were deposited as "Express Mail," Mailing Label No. EL523798176US with the U.S. Postal Service, addressed to Attention: Box Patent Application, Assistant Commissioner for Patents, U.S. Patent & Trademark Office, P.O. Box 2327, Arlington, VA 22202, on November 21, 2001.

November 21, 2001

  
\_\_\_\_\_  
Mailer

November 21, 2001

  
\_\_\_\_\_  
Eugene J. Bernard, Reg. No. 42,320  
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Denver, Colorado 80202  
Telephone: (303) 454-2457  
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# FEE TRANSMITTAL for FY 2000

Compleat if Known

**TOTAL AMOUNT OF PAYMENT (\$)** **(\$)740.00**

Application Number	
Filing Date	November 21, 2001
First Named Inventor	Coming CHEN, et al.
Examiner Name	
Group / Art Unit	
Attorney Docket No.	UMC-98-048 CON

**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

**50-1123**

Deposit  
Account  
Name

**Hogan & Hartson L.L.P.**

- ☒ Charge Any Additional Fee Required Under 37 CFR § 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒

**Payment Enclosed:**

- ☒ Check ☐ Money Order ☐ Other

**FEE CALCULATION**

**1. BASIC FILING FEE**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
740	370	Utility Filing Fee	<b>740.00</b>
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	

**SUBTOTAL (1)** **(\$)740.00**

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
7	-20**= 0	18	0
Independent Claims 1	-3**= 0	80	0
Multiple Dependent			0

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	**Reissue ind. claims over orig. patent
110 18	210 9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** **(\$)00**

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
390	195	Extension for reply within second month	
890	445	Extension for reply within third month	
1,390	695	Extension for reply within fourth month	
1,890	945	Extension for reply within fifth month	
310	155	Notice of Appeal	
310	155	Filing a brief in support of an appeal	
270	135	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,240	620	Petition to revive - unintentional	
1,240	620	Utility issue fee (or reissue)	
440	220	Design issue fee	
600	300	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Petitions related to provisional applications	
240	240	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (x number of properties)	
710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
710	355	Request for Continued Examination Request for expedited examination of a design application	

Other fee (specify)

**\*Reduced by Basic Filing Fee Paid** **SUBTOTAL (3)** **(\$)00**

**SUBMITTED BY** Complete (if applicable)

Name (Print/Type) **Eug ne J. Bernard**

Registration No. (Attorney/Agent)

**42,320**

Telephone

**(303) 454-2457**

Signature

*Eug ne J. Bernard*

Date

**November 21, 2001**